

OIP Practitioner's Docket No.

2550/174

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patent application  
of \_\_\_\_\_

Inventor(s)

for \_\_\_\_\_

Title of invention

the specification of which is being transmitted herewith

OR

In re application of: Wachtmann et al.

Application No.: 10/601,980

Group No.: 2818

Filed: June 23, 2003

Examiner: Thao Le

For: Apparatus and Method of Forming a Device Layer

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

(Information Disclosure Statement--page 1 of 6)

**CERTIFICATION UNDER 37 C.F.R. SECTIONS 1.8(a) and 1.10\***

*(When using Express Mail, the Express Mail label number is mandatory;  
Express Mail certification is optional.)*

I hereby certify that, on the date shown below, this correspondence is being:

**MAILING**

[x] deposited with the United States Postal Service in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA

22313-1450

**37 C.F.R. SECTION 1.8(a)**

**37 C.F.R. SECTION 1.10\***

[X] with sufficient postage as first class mail.

as "Express Mail Post Office to Addressee"  
Mailing Label No. \_\_\_\_\_ (mandatory)

**TRANSMISSION**

transmitted by facsimile to the Patent and Trademark Office.

Signature

Steven G. Saunders

(type or print name of person certifying)

**\*WARNING:** *Each paper or fee filed by "Express Mail" must have the number of the "Express Mail" mailing label placed thereon prior to mailing. 37 C.F.R. section 1.10(b).*

*"Since the filing of correspondence under section 1.10 without the Express Mail mailing label thereon is an oversight that can be avoided by the exercise of reasonable C.F.R.e, requests for waiver of this requirement will not be granted on petition." Notice of Oct. 24, 1996, 60 Fed. Reg. 56,439, at 56,442.*

## SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

**NOTE:** "An information disclosure statement shall be considered by the Office if filed by the applicant:

- (1) Within three months of the filing date of a national application;
- (2) Within three months of the date of entry of the national stage as set forth in section 1.491 in an international application; or
- (3) Before the mailing date of a first Office action on the merits, whichever event occurs last." 37 C.F.R. section 1.97(b).

**NOTE:** "Each individual associated with the filing and prosecution of a patent application has a duty of candor and good faith in dealing with the Office, which includes a duty to disclose to the Office all information known to that individual to be material to patentability as defined in this section." 37 C.F.R. section 1.56(a).

"Individuals associated with the filing or prosecution of a patent application within the meaning of this section are:

- (1) each inventor named in the application;
- (2) each attorney or agent who prepares or prosecutes the application; and
- (3) every other person who is substantively involved in the preparation or prosecution of the application and who is associated with the inventor, with the assignee or with anyone to whom there is an obligation to assign the application." 37 C.F.R. section 1.56(c).

**NOTE:** The "duty as described in section 1.56 will be met so long as the information in question was cited by the Office or submitted to the Office in the manner prescribed by sections 1.97(b) - (d) and 1.98 before issuance of the patent." Notice of January 9, 1992, 1135 O.G. 13-25 at 17.

**WARNING:** "No information disclosure statement may be filed in a provisional application." 37 C.F.R. section 1.51(b).

### List of Sections Forming Part of This Supplemental Information Disclosure Statement

The following sections are being submitted for this Supplemental Information Disclosure Statement:

(check sections forming a part of this statement: disC.F.R.d unused sections and number pages consecutively)

1. [x]Preliminary Statements
2. [x]Forms PTO/SB/08A and 08B (substitute for Form PTO-1449)
3. [ ]Statement as to Information Not Found in Patents or Publications
4. [ ]Identification of Prior Application in Which Listed Information Was Already Cited and for Which No Copies Are Submitted or Need Be Submitted
5. [ ]Cumulative Patents or Publications
6. [x]Copies of Listed Information Items Accompanying This Statement
7. [ ]Concise Explanation of Non-English Language Listed Information Items
  - 7A. [x]EPO Search Report
  - 7B. [ ]English Language Version of EPO Search Report
8. [ ]Translation(s) of Non-English Language Documents
9. [ ]Concise Explanation of English Language Listed Information Items (Optional)
10. [x]Identification of Person(s) Making This Information Disclosure Statement

(complete the following, if appropriate)

Sections , respectively, have been continued on ADDED PAGE(S).

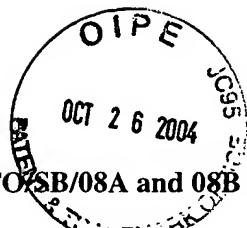
**NOTE :**"Once the minimum requirements are met, the examiner has an obligation to consider the information." Notice of April 20, 1992 (1138 O.G. 37-41, 37).

## **Section 1. Preliminary statements**

Applicants submit herewith patents, publications or other information, of which they are aware that they believe may be material to the examination of this application, and in respect of which, there may be a duty to disclose.

The filing of this information disclosure statement shall not be construed as a representation that a search has been made (37 C.F.R. section 1.97(g)), an admission that the information cited is, or is considered to be, material to patentability, or that no other material information exists.

The filing of this information disclosure statement shall not be construed as an admission against interest in any manner. Notice of January 9, 1992, 1135 O.G. 13-25, at 25.



**SECTION 2. FORMS PTO/SB/08A and 08B (formerly Form PTO-1449)**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**Applicants:** Wachtmann et al.      **Attorney Docket:** 2550/174  
**Serial No:** 10/601,980      **Art Group Unit:** 2818  
**Date Filed:** June 23, 2003      **Examiner Name:** Thao Le  
**Invention:** Apparatus and Method of Forming a Device Layer

**LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT'S SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

U.S. PATENT DOCUMENTS					
Examiner Initials	Reference Number	Document Number	Issue Date	Inventor	Class/Subclass
	AI	US 5,343,064	August 30, 1994	Spangler et al.	257/350
	AJ	US 6,240,782 BA	June 5, 2001	Kato et al.	73/514.32
	AK	US 6,268,232 B1	July 31, 2001	Skapa et al.	438/51
	AL	US 2002/0016095 A1	February 7, 2002	Fork et al.	439/81

FOREIGN PATENT DOCUMENTS						
Examiner Initials	Reference Number	Country Code	Document Number	Publication Date	Patentee or Applicant	Class/Subclass
	AM	WO	WO02/12116A 2	February 14, 2002	Analog Devices, Inc.	B81B

OTHER DOCUMENTS			
Examiner Initials	Reference Number	Author	Title of Article, Title of Journal, Volume Number, Page Numbers, Date
	AN	International Searching Authority	International Search Report, dated October 7, 2004

Examiner Signature:	<hr/>
Date Considered:	<hr/>
<p><b>EXAMINER:</b> Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation <i>if not</i> in conformance and not considered. Include copy of this form with next communication to applicant.</p>	

## **Section 6. Copies of Listed Information Items Accompanying This Statement**

*NOTE: 37 C.F.R. section 1.98(a)(2) requires that any information disclosure statement filed under section 1.97 shall include: "A legible copy of: (1) Each U.S. and foreign patent; (ii) Each publication or that portion which caused it to be listed; and (iii) All other information or that portion which caused it to be listed, except that no copy of a U.S. patent application need be included . . ."*

*NOTE: The wording in section 1.98(a)(2)(iii) makes it clear that the requirement to submit a copy of each item of information listed in an information disclosure statement does not apply to the citation of a U.S. patent application. Notice of January 9, 1992, 1135 O.G. 13-25, at 14.*

Legible copies of all items listed in Forms PTO/SB/08A and 08B (substitute for Form PTO-1449) accompany this information statement.

*(complete the following, if applicable)*

[ ]Exception(s) to above:

[ ]Items in prior application, from which an earlier filing date is claimed for this application, as identified in Section 4.

[ ]Cumulative patents or publications identified in Section 5.

U.S. patent citations are not included pursuant to 37 CFR 1.98 9(a)(2)(i) and 37 CFR 1.491(b), in which the USPTO waived the requirement for submitting a copy of each cited U.S. patent and each U.S. patent application publication for all U.S. national patent applications filed after June 30, 2003 and for all international applications that have entered the national stage under 35 USC § 371 after June 30, 2003.

**Section 10. Identification of Person(s) Making This Supplemental Information Disclosure Statement**

The person making this certification is

*(check each applicable item)*

- (a)  [ ] the inventor(s) who signs below

---

**SIGNATURE OF INVENTOR**

---

*(type name of inventor who is signing)*

- (b)  [ ] an individual associated with the filing and prosecution of this application (37 C.F.R. section 1.56(c))

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**SIGNATURE OF INVENTOR**

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*(type name of inventor who is signing)*

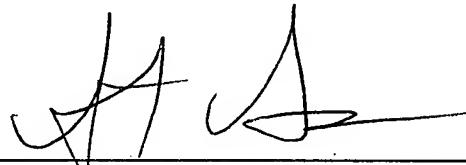
- (c)  [x] the practitioner who signs below on the basis of the information:

*(check each applicable item)*

[ ] supplied by the inventor(s).

[ ] supplied by an individual associated with the filing and prosecution of this application. (37 C.F.R. section 1.56(c)).

[x] in the practitioner's file.



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**SIGNATURE OF PRACTITIONER**

Reg. No.: 36,265

Steven G. Saunders

*(type or print name of practitioner).*

Tel. No.: (617) 443-9292

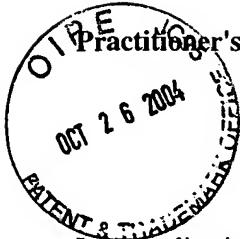
125 Summer Street, 11<sup>th</sup> Floor

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Customer No.: 002101

Boston, MA 02110

02550/00174 340560.1



Practitioner's Docket No.

2550/174

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Wachtmann et al.

Application No.: 10/601,980

Group No.: 2818

Filed: June 23, 2003

Examiner: Thao Le

For: Apparatus and Method of Forming a Device Layer

Commissioner for Patents  
P.O. Box 1450

Alexandria, VA 22313-1450

**STATEMENT FOR SUPPLEMENTAL INFORMATION DISCLOSURE UNDER 37 C.F.R. SECTION 1.97(e)**

*NOTE: A statement must state either: "(1) that each item of information contained in the information disclosure statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement, or (2) that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application and to the knowledge of the person signing the statement after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in Section 1.56(c) more than three months prior to the filing of the information disclosure statement." 37 C.F.R. Section 1.97(e).*

*NOTE: "Section 1.97(e) makes it clear that a certification could contain either of two statements. One statement is that each item of information in an information disclosure statement was cited in a search report from a patent office outside the U.S. not more than three months prior to the filing date of the statement. Under this certification, it would not matter whether any individual with a duty actually knew about any of the information cited before receiving the search report. In the alternative, the certification could state that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the*

**CERTIFICATE OF MAILING/TRANSMISSION (37 C.F.R. SECTION 1.8(a))**

I hereby certify that, on the date shown below, this correspondence is being:

**MAILING**

[X] deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

Date: October 21, 2004

**FACSIMILE**

[ ] transmitted by facsimile to the Patent and Trademark Office, (703) \_\_\_\_-\_\_\_\_.

Signature

Steven G. Saunders

(type or print name of person certifying)

*knowledge of the person signing the certification after making reasonable inquiry, was known to any individual having a duty to disclose more than three months prior to the filing of the statement." Notice of January 9, 1992, 1135 O.G. 13-25, at 13. (emphasis added). Thus: "If an item of information is submitted within three months of being cited in a communication from a foreign patent office in a counterpart foreign application, the certification can be properly made regardless of any individual's previous knowledge of the information." Id., 1135 O.G. at 19.*

**NOTE:** *"The certification can be based on present, good faith knowledge about when information became known without a search of files being made." Thus, for example, the certification of Section 1.97(e) does not preclude the use of the certification in an application by corporations whose practitioners have over the years reviewed thousands of patents and technical publications, even though they are unaware of the relevance of any one thereof to the application. Notice of January 9, 1992, 1135 O.G. 13-15, at 19.*

**NOTE:** *A copy of the foreign search report need not be submitted with the certification. Notice of April 20, 1992 (1138 O.G. 37-41, 40).*

**NOTE:** *"The phrase 'after making reasonable inquiry' makes it clear that the individual making the certification has a duty to make reasonable inquiry regarding the facts that are being certified. The certification can be made by a registered practitioner who represents a foreign client and who relies on statements made by the foreign client as to the date the information first became known. A registered practitioner who receives information from a client without being informed whether the information was known for more than three months, however, cannot make the certification without making reasonable inquiry. For example, if an inventor gave a publication to the attorney prosecuting an application with the intent that it be cited to the Office, the attorney should inquire as to when that inventor became aware of the publication and should not submit a certification under 37 C.F.R. 1.97(e)(2) to the Office until a satisfactory response is received. The certification can be based on present, good faith knowledge about when information became known without a search of files being made." Notice of April 20, 1992 (1138 O.G. 37-41, 39).*

**NOTE:** *"Although it is recognized that an individual actually becomes aware of the information in the communication from a foreign patent office sometime after it was mailed, the mailing date of such a communication, if it occurs prior to a first awareness of the same information, would determine the date for filing of an information disclosure statement without a fee" in a certification procedure under Section 1.97(e). Notice of January 9, 1992, 1135 O.G. 13-25, at 19 (emphasis added).*

**NOTE:** *The mere absence of an item of information for a foreign patent office communication is not intended to represent an opportunity to delay the submission of a item known more than three months prior to the filing of an information disclosure statement to an individual having the duty of disclosure under Section 1.56. 62 Fed. Reg. 53,131, 53,150 (Oct. 10, 1997).*

**NOTE:** *"The certification under Section 1.97(e) should be made by a person who has knowledge of the facts being certified. The certification can be made by a practitioner who represents a foreign client and who relies on statements made by the foreign client as to the date the information first became known. A practitioner who receives information from a client without being informed whether the information was known for more than three months, however, cannot make the certification without making reasonable inquiry." Notice of January 9, 1992, 1135 O.G. 13-25 at 19.*

**NOTE:** *"The term counterpart foreign patent application means that a claim for priority has been made in either the U.S. application or a foreign application based on the other, or that the disclosures of the U.S. and foreign patent applications are substantively identical (e.g., an application filed in the European Patent Office claiming the same U.K. priority as claimed in the U.S. application)." Notice of April 20, 1992 (1138 O.G. 37-41, 39).*

**NOTE:** *"Individuals other than the attorney, agent or inventor may comply with this section by disclosing information to the attorney, agent or inventor." 37 C.F.R. Section 1.56(d) and*

*"Individuals associated with the filing or prosecution of a patent application within the meaning of this section are:*

- (1) each inventor named in the application;*
  - (2) each attorney or agent who prepares or prosecutes the application; and*
  - (3) every other person who is substantively involved in the preparation or prosecution of the application and who is associated with the inventor, with the assignee or with anyone to whom there is an obligation to assign the application."*
- 37 C.F.R. Section 1.56(c).*

**IDENTIFICATION OF SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT  
FOR WHICH THIS STATEMENT IS BEING MADE**

1. This statement is being made for the Supplemental Information Disclosure Statement  
[x] accompanying this statement.

[ ] filed \_\_\_\_\_

Date

**STATEMENT**

2. I, the person(s) signing below state:

[x] that each item of information contained in the supplemental information disclosure statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the supplemental information disclosure statement. 37 C.F.R. Section 1.97(e)(1).

*NOTE: The three month period starts from the mailing date of the foreign patent office communication. Notice of January 9, 1992, 1135 O.G. 13-25 at 19. The mailing date is the "date on the communication by the foreign patent office." Notice of April 20, 1992 (1138 O.G. 37-41, 39).*

**OR**

[ ] that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application and to the knowledge of the person signing the statement after making reasonable inquiry, was known to any individual designated in Section 1.56(c) more than three months prior to the filing of the information disclosure statement. 37 C.F.R. Section 1.97(e)(2).

*NOTE: "The time at which information 'was known to any individual designated in 37 C.F.R. 1.56(c)' is the time when the information was discovered in association with the application even if awareness of the materiality came later." Notice of April 20, 1992 (1138 O.G. 37-41, 40).*

**IDENTIFICATION OF PERSON(S) MAKING THIS STATEMENT**

3. The person making this statement is

*(check each applicable item)*

- (a) [ ] the inventor(s) who signs below

---

**SIGNATURE OF INVENTOR**

---

*(type name of inventor who is signing)*

- (b) [ ] a person who is substantively involved in the preparation or prosecution of the application, and

who is associated with the inventor, with the assignee, or with anyone to whom there is an obligation to assign the application (37 C.F.R. Section 1.56(c)) and who signs below.

---

**SIGNATURE OF PERSON MAKING STATEMENT**

---

*(type name of person who is signing)*

---

Address of person who is signing

---

(c)  the practitioner who signs below on the basis of the information:

*(check each applicable item)*

- supplied by the inventor(s).  
 supplied by an individual designated in Section 1.56(c).  
 in the practitioner's file.

---

**SIGNATURE OF PRACTITIONER**

Steven G. Saunders

*(type or print name of practitioner)*

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125 Summer Street, 11<sup>th</sup> Floor

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---

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